

## NCOA<sup>Link</sup> Software Developer Certification Procedures

**Attention Developers: Developer is prohibited from representing to third parties that USPS has certified Developer's software product until USPS issues a software certification notice to Developer as described in Step 4, below. Prior to receiving the software certification notice from USPS, Developer may only represent that it has "applied" to receive software certification, and is prohibited from making any representations or warranties as to the availability of its software and/or the ability of its software to support the NCOA<sup>Link</sup> product.**

The following material describes the process for a Developer to qualify for a license and certify an NCOA<sup>Link</sup> software interface. Information for each step of the certification process is included.

Developer must submit all materials to USPS at the following address:

NCOA<sup>Link</sup> PRODUCT DEPARTMENT  
NATIONAL CUSTOMER SUPPORT CENTER  
UNITED STATES POSTAL SERVICE  
6060 PRIMACY PKWY STE 201  
MEMPHIS TN 38188-0001

### Step 1. Application and Self-Certification Statement Approval

The following documentation must be completed and submitted by Developer and approved by the USPS:

- Application
- Confidentiality Statement
- Self-Certification Statement
- Key Personnel Listing
- Web Access Request Form
- Security Documentation

USPS will notify Developer if it determines that Developer has completed Step 1 to the satisfaction of USPS.

### Step 2. Software Development

Upon successful completion of Step 1 as evidenced by USPS's issuance of a notice to Developer, USPS will forward a standard NCOA<sup>Link</sup> Software Development License Agreement ("License Agreement") and an invoice for the \$5,000.00 license fee to Developer. **The NCOA<sup>Link</sup> License Agreement must be signed by an officer who possesses the necessary legal authority to sign on behalf of the company, firm, or organization.** Developer must return the original signed standard License Agreement to USPS together with payment of the license fee. After USPS receives the signed License Agreement and payment, and completes its review and approval, USPS will sign the License Agreement. USPS will then forward a copy of the fully executed License Agreement and a Software Developer Kit (SDK) to the new NCOA<sup>Link</sup> Developer.

The SDK will include a Software Developer Guide (SDG), sample code and sample data to facilitate software development. Developer's software interface must meet the requirements set forth in the SDG and the Software Performance Requirements (SPR). USPS will provide Developer with SPR for USPS Full Service, Limited Service and End

User NCOA<sup>Link</sup> product Licensees. Refer to the specific SPR for the service level that will be utilizing the software.

An NCOA<sup>Link</sup> Stage I test file will be available for testing through the assigned internet account. This file will contain test questions and the expected answers.

**NOTE: All source code designed to access the secure data store technology of NCOA<sup>Link</sup> shall be considered Confidential Information and is subject to the provisions of the Confidentiality Statement.**

### **Step 3. NCOA<sup>Link</sup> Testing & Certification**

Developer must submit to USPS a written request and a Software Information Form requesting that USPS perform an NCOA<sup>Link</sup> certification test. The USPS will notify Developer when it has sent a test file. (While NCOA<sup>Link</sup> testing will usually occur remotely, USPS reserves the right to perform testing on-site.)

The following items are tested in Step 3:

- Ability to correctly process test files
- Ability to provide new addresses in accordance with NCOA<sup>Link</sup> product requirements
- Ability to produce output file with appended flags
- Understanding and performance of administrative requirements which includes processing the certification test and submitting the proper paper work and/or reports.

If USPS determines that Developer fails the initial certification test, Developer may submit to USPS a written request for an additional certification test. USPS will require payment of \$1,000.00 for each additional certification test.

### **Step 4. Execution of Standard License Agreement**

Upon USPS determining that Developer has successfully completed Steps 1 - 3, USPS will issue a software certification notice to Developer.

**Developer's NCOA<sup>Link</sup> interface software MAY NOT be used, sold and/or distributed for use unless the party using Developer's NCOA<sup>Link</sup> interface software has entered into a standard NCOA<sup>Link</sup> product license agreement with USPS. In the event Developer desires to sell or distribute its software to third parties, Developer must enter into a separate license agreement with USPS.**

## **Certification Procedures Acceptable Uses and Licensee Prerequisites**

This section sets forth requirements for use of an NCOA<sup>Link</sup> certified system. As stated in the standard USPS NCOA<sup>Link</sup> product License Agreement, the purpose is "... that Licensee will utilize [NCOA<sup>Link</sup>] to provide a mailing list correction service for lists that will be used for the preparation of mailings for acceptance and delivery by the USPS."

### **Allowable Uses:**

Licensee may:

- Provide the most up-to-date change-of-address information
- Detect of potential changes-of-address
- Provide standardized name and address matching services to customers for the preparation of mail that will be submitted to the United States Postal Service for acceptance and delivery by the USPS
- In conjunction with CASS-certified address matching software, obtain a standardized address, 5-digit ZIP Code, the ZIP+4 Code add-on, the 2 digit Delivery Point Barcode, and ZIP+4 attribute information (and Delivery Point Validation information, if enabled)

### **Prohibited Uses:**

Licensee may not:

- Create or maintain any derivative products that incorporate data obtained from NCOA<sup>Link</sup>
- Rent/lease/sell name and address lists that have been generated based solely on an update obtained from NCOA<sup>Link</sup>
- Generate or maintain a new movers list of names and addresses as a result of the NCOA<sup>Link</sup> process
- Utilize NCOA<sup>Link</sup> process for "skip tracing" or related activities
- Process less than 100 unique names and addresses per run

### **Prerequisites:**

- Potential Developers must demonstrate ability to develop, maintain and support software for the use of the NCOA<sup>Link</sup> product.
- Potential Developers must enter into a License Agreement with USPS in order for its software to be used. Only parties that have entered into standard NCOA<sup>Link</sup> product license agreements with USPS are authorized to use Developer's interface software in accordance with the terms and conditions set forth in the license agreements.

### **Non-Disclosure of Address Information:**

The NCOA<sup>Link</sup> Product processing requires the potential Licensee to have access to names and address information (i.e. addresses and return addresses) that appear in mailing lists or on mailpieces. To ensure the confidentiality of this address information, except as permitted by USPS, no Developer, supplier or subcontractor, and no employee or former employee of any supplier or subcontractor may, at any time, during or after the period of a standard USPS License Agreement, disclose to any third party any address information obtained in the performance of this License. USPS license agreements do not give the supplier proprietary interest in address information, and the supplier's right to have, use, and disclose address information is restricted by the license. USPS licensees agree to control and restrict access to address information to persons who need it to perform work under this License and prohibit the unauthorized reproduction of this information.

In the event of a conflict between this document and the standard NCOA<sup>Link</sup> License Agreement, the terms of the NCOA<sup>Link</sup> License Agreement prevail.

Developers must disclose the foregoing provisions to potential customers that will use Developer's interface software. Developer must advise customers that they are required to enter into a standard NCOA<sup>Link</sup> product license agreement prior to using Developer's interface software.

## Certification Procedures System Design and Implementation Suggestions

### Pre-Development Considerations

The implementation and utilization of the NCOA<sup>Link</sup> product to update change of address data either for internal use or client processing is a big step in any organization. The following information should be considered in developing the software:

- Develop the software system to utilize appropriate hardware that will meet the business needs of your clients with regards to processing speeds, connectivity to other platforms or data streams and operational controls.
- Determine the impact, if any, this system may have with existing Change of Address (COA) processes such as direct customer contact, Address Change Service and mailpiece endorsements.
- In processing COA data, regardless of origin, it is a good idea that the base file contain flags/fields that provide the necessary identifying information on origin of the COA and when the record was updated. In conjunction with other COA processes, circumstances may occur in which automated updating of certain base records may need to be prohibited and/or diverted to a different process. The utilization of these flags/fields or other fields will facilitate in the systemic decision making.
- Provide a copy of the License Agreement to legal department for review. Per the License Agreement: **"This Agreement may not be altered, amended, or modified except by a written instrument signed by authorized representatives of USPS and Developer."**
- Understand all of the components of the COA data, including the different styles of addresses to ensure the base file is being updated properly. The USPS publications below are recommended for reference material

"Postal Addressing Standards" (Publication 28)  
"Address Information System Products Technical Guide"

Publication 28 may be located at <http://www.usps.com/publications/pubs/publicationspdf.htm>.  
The AIS Products Technical Guide may be located at  
<http://www.usps.com/ncsc/addressmgmtpubs/addressmgmtpubsmenu.htm>.

- Mailing lists may contain multiple named individuals, especially in the financial and insurance environment, and may be printed on the actual mailpiece. The multiple named individuals within a base record may or may not contain the same last name. Regardless, it is the responsibility of the mail list owner to identify the primary target name for submission to the NCOA<sup>Link</sup> process.
- NCOA<sup>Link</sup> contains four modes of operation: Standard, Individual only, Business only, and Individual and Business. The modes of operation directly affect name matching logic. Name matching logic is determined by the move type (Business, Individual, or Family) in the data record on the COA database that is a candidate for a match. Please review the Licensee Performance Requirements for additional information. It is the responsibility of the organization or customer/client to understand these modes and select/determine the appropriate mode of operation for their files.

**Step 1**  
**NCOA<sup>Link</sup> Software Developer**  
**Application**

**Please Print:**

Company Name: \_\_\_\_\_  
Company Address: \_\_\_\_\_  
City: \_\_\_\_\_ State: \_\_\_\_\_ ZIP+4: \_\_\_\_\_  
Tax ID No. (TIN): \_\_\_\_\_ Standard Industry Code (SIC/NAICS): \_\_\_\_\_  
Telephone No.: \_\_\_\_\_ Fax No.: \_\_\_\_\_  
Contact Name: \_\_\_\_\_  
Parent Company (if applicable): \_\_\_\_\_  
E-mail Address: \_\_\_\_\_

**Terms and Conditions of Application for License**

1. Applicant understands and agrees that: (a) the NCOA<sup>Link</sup> product may only be used by Applicant or parties using Applicant's NCOA<sup>Link</sup> software program(s) ("software") to update existing mailing lists that are used to prepare mail for the purpose of acceptance and delivery by the United States Postal Service; (b) Applicant must represent to parties interested in using its software that use of Applicant's software is restricted to parties that have been approved to enter into NCOA<sup>Link</sup> product license agreements with the United States Postal Service (USPS); and (c) Applicant (if it enters into an NCOA<sup>Link</sup> product license agreement for the sale of its software) is prohibited from selling and/or distributing its software to any party that is not approved for a USPS NCOA<sup>Link</sup> product license.
2. Prior to consideration for an NCOA<sup>Link</sup> Software Developer license, Applicant must demonstrate its capability of software development, support and maintenance to the sole satisfaction of USPS. **Applicant must submit the Self-Certification Statement, along with this Application** to enable USPS to make this determination.
3. Applicant is not eligible to receive an NCOA<sup>Link</sup> Software Developer Interface Certification prior to USPS: (a) completing its acceptance testing of the software, (b) determining, in its sole discretion, that the testing is successful, and (3) certifying the Applicant's specific NCOA<sup>Link</sup> software.
4. Applicant is prohibited from representing to third parties that USPS has certified Applicant's software until such time as Applicant receives a software certification notice from USPS. Prior to receiving the software certification notice from USPS, Applicant may only represent that it has "applied" to receive software certification, and is prohibited from making any representations or warranties as to the availability of its software and/or the ability of its software to support the NCOA<sup>Link</sup> product.
5. USPS is not liable for any and all costs incurred by the Applicant, its affiliates, agents or employees for the submission of this Application and related materials, or the development or testing of Applicant's proposed NCOA<sup>Link</sup> software.
6. Applicant is in good standing under all existing license agreements with USPS, if any, and has received no notice of warning, suspension or termination from USPS relating either to a current or expired USPS license agreement.

7. USPS may elect not to award Applicant a Software Developer license agreement in the event that USPS determines that Applicant has violated any of the terms and conditions set forth above.

**I hereby affirm that I have read and fully understand the terms and conditions listed above. I, my company, and/or firm agree to meet these terms and conditions as a prerequisite to applying for or obtaining a USPS NCOA<sup>Link</sup> Software Developer License Agreement. I affirm that I am an officer of the company, firm or organization and that I possess all necessary legal authority to sign on behalf of the company, firm, or organization.**

Applicant/Developer Name: \_\_\_\_\_

By: \_\_\_\_\_(Signature)

Name (please print): \_\_\_\_\_

Title: \_\_\_\_\_

Date: \_\_\_\_\_

**Step 1**  
**NCOA<sup>Link</sup> Software Developer**  
**Confidentiality Statement**

All material supplied in connection with the application for and use of NCOA<sup>Link</sup> Product contains trade secrets and/or confidential technical, commercial, or other information not generally available to the public. This document, and all other material provided in connection with NCOA<sup>Link</sup> technology and the data and information contained therein shall not be used, duplicated or disclosed to third parties, in whole or in part, for any purpose, without the prior express written consent of the United States Postal Service.

I hereby affirm that I have read and fully understand the terms and conditions listed above. I, my company, and/or firm agree to meet these terms and conditions as a prerequisite to using the NCOA<sup>Link</sup> Product. I, my company, and/or firm further agree to continue to abide by this Confidentiality Statement whether or not the USPS awards an NCOA<sup>Link</sup> License to me, my company, and/or firm. This Confidentiality Statement shall not be superseded by the award or entry into of an NCOA<sup>Link</sup> License or any other agreement with the United States Postal Service, unless such agreement specifically refers to this Confidentiality Statement. I affirm that I am an officer of the company, firm or organization and that I possess all necessary legal authority to sign on behalf of the company, firm, or organization.

Product Name \_\_\_\_\_ NCOA<sup>Link</sup> (National Change of Address Linkage System) Product \_\_\_\_\_

Company Name (please print): \_\_\_\_\_

Name (please print): \_\_\_\_\_

Title: \_\_\_\_\_

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Please sign and return to:  
NCOA<sup>Link</sup> LICENSING DEPARTMENT  
NATIONAL CUSTOMER SUPPORT CENTER  
UNITED STATES POSTAL SERVICE  
6060 PRIMACY PKWY STE 201  
MEMPHIS TN 38188-0001



**Step 1**  
**NCOA<sup>Link</sup> Software Developer**  
**Self-Certification Statements**

***The following provides clarification and specifics for Item 2 of the Application. This must be provided for evaluation along with the Application.***

1. A brief narrative describing the nature of the applicant's business, with emphasis on its experience in software development, support and maintenance.
  
2. A description of how the applicant plans to utilize NCOA<sup>Link</sup> technology as part of its business or service offering.
  
3. Key Personnel list (attached)
  
4. Web Access Request Form (attached)
  
5. Security Documentation (attached)

These items constitute the minimum information requirements. If applicants wish to provide additional information, they are welcome to do so. After review of the provided information, the USPS will notify the applicant in writing of the acceptance or rejection of its license application.

**Step 1**  
**NCOA<sup>Link</sup> Software Developer**  
**Key Personnel**

<b>LICENSING CONTACT:</b> (Primary contact for licensing issues)	
Contact Name: _____	
Company Name: _____	
Address: _____	
City: _____	State: _____ ZIP+4: _____ - _____
Phone: (____) _____ - _____	Ext: _____ Fax: (____) _____ - _____
Email address: _____	
Alternate Contact Name: _____	Email: _____
Alternate Contact Name: _____	Email: _____
<b>SITE CONTACT:</b> (Primary contact for operational issues)	
Contact Name: _____	
Address: _____	
City: _____	State: _____ ZIP+4: _____ - _____
Phone: (____) _____ - _____	Ext: _____ Fax: (____) _____ - _____
Email address: _____	
Alternate Contact Name: _____	Email: _____
Alternate Contact Name: _____	Email: _____
<b>TECHNICAL CONTACT:</b> (Primary contact technical issues)	
Contact Name: _____	
Address: _____	
City: _____	State: _____ ZIP+4: _____ - _____
Phone: (____) _____ - _____	Ext: _____ Fax: (____) _____ - _____
Email address: _____	
Alternate Contact Name: _____	Email: _____
Alternate Contact Name: _____	Email: _____
<b>BILLING CONTACT:</b> (Primary contact for billing issues)	
Contact Name: _____	
Address: _____	
City: _____	State: _____ ZIP+4: _____ - _____
Phone: (____) _____ - _____	Ext: _____ Fax: (____) _____ - _____
Email address: _____	
Alternate Contact Name: _____	Email: _____
Alternate Contact Name: _____	Email: _____

# UNITED STATES POSTAL SERVICE NATIONAL CUSTOMER SUPPORT CENTER

## WEB ACCESS REQUEST FORM

This form will be used to create a WEB based account with the National Customer Support Center (NCSC) which will be utilized to send/receive (upload/download) files for the business affiliation indicated below to/from the NCSC. Please complete the form and return via mail or fax utilizing the information at the bottom of this form. Your Email address will be used to notify you of approved access.

Select a business affiliation (Complete a separate form for each business affiliation request):

- |  |  |
|--|--|
| <input type="checkbox"/> Address Change Service (ACS)      | <input type="checkbox"/> Coding Accuracy Support System (CASS)     |
| <input type="checkbox"/> <b>FASTforward</b> <sup>®</sup>   | <input type="checkbox"/> Multi-Line Accuracy Support System (MASS) |
| <input type="checkbox"/> National Change of Address (NCOA) | <input type="checkbox"/> Other _____                               |
| <input type="checkbox"/> NCOA <sup>LinkTM</sup>            |  |

Requestor's Name (Please print):		Job Title::	
Last 4 digits of Social Security Number/Tax ID Number:	E-mail Address:	Telephone Number:	Fax Number:
Manager's Name (Please print):		Job Title:	
Last 4 digits of Social Security Number/Tax ID Number:	E-mail Address:	Telephone Number:	Fax Number:
Department:			
Company Name:			
Urbanization:			
Address:			
City:		State:	ZIP+4 Code:
Telephone Number:		Fax Number:	

### Privacy Act Statement

The collection of this information is authorized by 39 U.S.C. 401 and Public Law 100-235, Computer Security Act of 1987. This Information will be used to assign computer access to data and or/files on computer systems limited to authorized persons through the use of computer security access control products. As a routine use, this information may be disclosed to a congressional office at your request; to OMB for review of private relief legislation; to a labor organization as required by the NLRA; where pertinent, in a legal proceeding to which the USPS is a party; to an appropriate law enforcement agency for investigative or prosecutorial purposes; to a government agency where relevant to a hiring, contracting or licensing decision by the requesting agency; to a government agency in order to elicit information relevant to a hiring, contracting, or licensing decision by the USPS; to an expert or consultant under contract with the USPS to fulfill an agency function; to the Federal Records Center for storage; to the Equal Employment Opportunity Commission for investigating a formal EEO complaint filed against the USPS under 29 CFR 1613; and to the Merit Systems Protection Board of Offices of Special Counsel for proceedings involving possible prohibited personnel practices. Completion of this form is voluntary; however, if this information is not provided, you may not be granted computer access.

Requestor's Signature:	Date:
Manager's Signature:	Date:

If you have any questions regarding this Web Access Request Form, please contact Technical Support at 800-331-5746 or email us at [nncsc@email.usps.gov](mailto:nncsc@email.usps.gov); otherwise, forward this completed form by mail or fax to:

MOVE UPDATE SUPPORT GROUP  
NATIONAL CUSTOMER SUPPORT CENTER  
UNITED STATES POSTAL SERVICE  
6060 PRIMACY PKWY STE 201  
MEMPHIS TN 38188-0001

Fax: 901-767-8853



### Address Management/NCSC Use Only

NCSC Business Account ID:
ID Assigned:
Password Assigned:
Date E-mailed Customer:
NCSC Initials::
Comments:

## **Step 1**

### **NCOA<sup>Link</sup> Software Developer Security Documentation**

Provide a description of the specific measures taken to secure the physical and electronic environments in which the NCOA<sup>Link</sup> system will reside. (Attach separate documents if necessary.) If descriptions are not clear or further clarification is needed, a diagram may be required.

### Step 3

## NCOA<sup>Link</sup> Software Developer

## NCOA<sup>Link</sup> Testing and Certification

Upon the applicant's written request, the USPS will provide the applicant with an NCOA<sup>Link</sup> Stage II certification file to be processed. The applicant shall demonstrate the capability of the applicant's NCOA<sup>Link</sup> software to the satisfaction of the USPS.

The output from the applicant's matching process must (according to the criteria set forth in the Performance Requirements):

- (1) Return each original unaltered input name and address as it was presented.
- (2) Provide the standardized version of the input address appended with the correct ZIP+4/DPC, other postal values, and any other intelligence flags or footnotes that result from the CASS processing segment.
- (3) For addresses that obtain a match, provide the correct forwardable address, ZIP+4 Code, delivery point values and correct footnote(s). Software shall assign all applicable standard footnote codes.
- (4) For each match made, provide the following elements: the move effective date (CCYYMM), specific name and address utilized in the query that obtained the match, and the move type. The move type is determined by the software based on the specific name inquiry utilized to obtain the match.
- (5) Identify addresses that do not match NCOA<sup>Link</sup> and those that do not match the ZIP+4 Product and provide failure to match footnote(s).
- (6) Return the urbanization name information, when applicable.
- (7) The carrier route information for new (updated) addresses must be returned.
- (8) Delivery Point Validation results.
- (9) Provide a processing summary report containing information to identify the specific list and the statistics resulting from the NCOA<sup>Link</sup> process performed on the list.
- (10) Provide a current USPS form 3553, or approved facsimile, which may be obtained by contacting the Coding Accuracy Support System (CASS) department at 1-800-642-2914.

The USPS will evaluate the output and notify the applicant of the results. Applicants that satisfy all USPS NCOA<sup>Link</sup> requirements, including those described in the Software Development Kit and as described in the specific Licensee Performance Requirements for which the software was developed will be granted licenses.

For each test address correctly ZIP+4 encoded, the applicant must correctly answer and provide all NCOA<sup>Link</sup> elements with 100% accuracy. After processing the test, applicants must return the test output and supporting documents to the designated Internet location.

**NOTE: Checklists for all supporting documents will be available at time of testing.**

**NOTE: The USPS shall not be obligated to pay any costs incurred in preparing any technical proposal, software development costs, or testing costs regardless of whether or not the USPS awards an NCOA<sup>Link</sup> Software Developer License to the applicant.**

### Step 3

## NCOA<sup>Link</sup> Software Developer Software Product Information

Hardware and software used to interface with the NCOA<sup>Link</sup> data:

Platform or Operating System : \_\_\_\_\_

NCOA<sup>Link</sup> Software Product Name : \_\_\_\_\_

NCOA<sup>Link</sup> Software Product Version : \_\_\_\_\_

Is Software Hardware Dependent? : \_\_\_\_\_

Address Matching ZIP+4 Product Name : \_\_\_\_\_

Address Matching ZIP+4 Product Version: \_\_\_\_\_

Address Matching ZIP+4 System: **PLEASE CHECK ONE:**

#### CASS Certification Options:

- ☐ Open System – Defined as having the ability to modify, adjust, or tweak the application in a manner that will affect the applications ZIP+4 matching decisions. Developers using an Open System must independently obtain CASS certification for the system.
- ☐ Closed System – Defined as **NOT** having the ability to modify, adjust, or tweak the application in a manner that will affect the applications ZIP+4 matching selection or decisions. Developers using a Closed System will not be required to obtain separate CASS certification for the system.

#### NCOA<sup>Link</sup> Software options:

- ☐ Integrated – Address Matching and NCOA<sup>Link</sup> software are integrated into a single software package.
- ☐ Standalone – Address Matching and NCOA<sup>Link</sup> software are separate software packages.

#### Service Level Option:

- ☐ Service Bureau
- ☐ End User Mailer

Note: Please mark any item as N/A if it is not applicable.

## **Step 4**

### **NCOA<sup>Link</sup> Software Developer Execution of License**

Upon USPS determining that Developer has successfully completed Steps 1 - 3, USPS will issue a software certification notice to Developer. **Developer's NCOA<sup>Link</sup> interface software MAY NOT be used, sold and/or distributed for use unless the party using Developer's NCOA<sup>Link</sup> interface software has entered into a standard NCOA<sup>Link</sup> product license agreement with USPS. In the event Developer desires to sell or distribute its software to third parties, Developer must enter into a separate license agreement with USPS.**